

APPLICATION FOR RECORDS RETENTION SCHEDULE

GEORGIA DEPARTMENT OF HUMAN RESOURCES
OFFICE OF ADMINISTRATIVE SERVICES
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

DHR		1. Department Address	ARCHIVES AND HISTORY	
Application Date 9-27-78		Georgia Department of Human Resources Division of Mental Health & Mental Retardation Central State Hospital Milledgeville, Georgia	Application Number 78-294-78-318	
Application Number DHR 62-90			Date Received OCT - 5 1978	Date Completed DEC 14 1978
2. Person to Contact W.A. Clifton		Working Title RMO Designee		Telephone Number
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supercode; <input type="checkbox"/> Void				
4. Dates of Series Earliest _____ Latest _____		5. Records Series Title (followed by title used in office; if different) See Attached Listing		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Division of Mental Health and Mental Retardation administers the program for mental health, mental retardation and other developmental disabilities; alcohol and drug abuse; and conducts training and research. This division is also concerned with community mental health and the administration of the State mental hospitals; and rehabilitation and retardation centers State-wide. State Regional Hospitals/Institutions and Medical Centers have the responsibility to provide mental health services for the people in its geographic area of responsibility; to conduct training and education for persons in various mental health disciplines; and to carry out research with the objective of determining the causes and possible cures of mental illness.				
7. Records Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: Included are: See Attached Listing File is arranged:				
8. Monthly Reference Rate One to six months old _____ ; Seven to twelve months old _____ ; Thirteen to twenty-four months old _____ ; twenty-five months and older _____ ? How often are records referred to which are:				
9. Annual Rate of Accumulation or Records Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____				

YES	NO	10. Questionnaire (Place an "X" in the proper column)
		a. Is this the official copy of the series? If not, where is it?
		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
		c. Is this a vital record?
		d. Does this series have historical or long term research value?
		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
		f. Is the information contained in this series ever published? If yes, attach copy.
		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
		i. Is this series (or a major portion of it) regularly microfilmed?
		j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
W. A. Clifton		W. J. McDonald DHR RMO	9-27-78

State Records Committee (Signature)		Date
State Auditor/Designee	[Signature]	11-5-78
Secretary of State/Designee	Carroll Hart	12-4-78
Attorney General/Designee	Robert H. Shell	12-12-78

Recommendations in paragraph 12 are approved.
(If disapproved, attach letter of explanation.)

MEDICAL SERVICE FILES

78-294

1. Medical Records Source Document Files
Documents relating to preparing patient related reports.

Included are admission work sheets, patient control registers, patient location and change-in-status documents and similar and related documents.

Cut off file each month; then hold in current files area for 3 months; then destroy.

78-295

2. Employee Examination Reporting Files
Documents relating to physical examination and summary information on the overall examination results, the cause for disqualification, and general physical condition of employees found acceptable for employment. Included are medical reports, physician examination reports and similar or related document.

Files are arranged alphabetically by employee, thereunder by date.

Cut off each calendar year; then hold in current files area for 1 year; then transfer to local storage area; hold for 4 years; then destroy.

If applicant is hired, examination file is covered under Appl. No. 74-452 Employee Medical Files.

78-296

3. Patient Medical Records- Eugenics Files
Documents relating to authorization for sterilization of patients.

Included are patient related forms identifying patient name, dates of activity, procedures and similar and related information. Master index card file is included.

Files are arranged alphabetically by name of patient, thereunder by date of activity.

Cut off file each calendar year; then hold in the current files area 1 year; then retire to State Archives.

78-297

4. Nursing Care and Treatment Service Schedule
Documents relating to on-duty hours for nursing service personnel assigned to care and treatment of patients.

Included are time schedules and similar or related documents.

Files are arranged chronologically by date.

Cut off each month; then hold in current files area for 3 months; then destroy. Earlier destruction is authorized.

COMMUNICATION FILES

78-298

5. Radio Frequency Files

Documents relating to the authorization, allocation, assignment, correlation and use of radio frequencies and call signs.

Included are listings, authorization correspondence and notification or assignments.

Files are arranged chronologically by date.

Destroy when assignment is superseded or cancelled; or destroy when use is discontinued.

78-299

6. Telephone Toll Call Review Files

Documents relating to documentation of toll, long distance and GIST telephone calls.

Included are reports, preprinted forms and related or similar documents.

Files are arranged chronologically by dates.

Cut off file each month; then hold in current files area for 3 months; then destroy. However, where discrepancies between these records and telephone bills are found, files will be held until corrective action is completed.

78-300

7. Forms Management Survey Files

Documents relating to staff visits and surveys conducted to provide advice and assistance, and to evaluate the effectiveness of forms management operations and programs.

Included are notifications of visits, reports of visits and surveys, reports of corrective action taken, and related documents.

Files are arranged alphabetically, thereunder by date.

Cut off file at the end of each calendar year; then hold in current files area 1 year or until another survey is made; then destroy.

78-301

8. Records Management Survey Files

Documents relating to visits and surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of records management operations and programs.

Included are notification of visits, or reports of visits and surveys, reports of corrective action taken, and related documents.

Files are arranged alphabetically by unit, thereunder by date.

Cut off file each calendar year; then hold in current files 1 year or until another survey is made; then destroy.

78-302

9. Records Information Release Files

Documents relating to specific instances of furnishing or denying copies of, access to, of information from State Records.

Included are requests for records of information and documents furnishing the information or approving or denying access.

Files are arranged numerically by files location number, or by organization, thereunder by subject or name and by date.

Place release in corresponding Patient Medical Record Files.

78-303

10. Records Retention Schedule

Documents relating to communications with the State Records Management Division concerning authority for disposition of specific files, including special studies of specific files for the purpose of establishing or revising disposition standards.

Included are Application for Records Retention Schedule, studies, letters of request or related approvals.

Files are arranged by date.

Cut off file each calendar year; then hold in current files area 2 years; then destroy. Earlier destruction is authorized after publication of retention schedule or on disposition of all files covered by the schedule.

78-304

11. Record Locator and Disposition Files

Documents relating to disposition of files that have been transferred or retired to storage areas.

Included are records transmittals, shipping lists, destruction notices and similar or related information.

Files may be arranged by series, accession or inventory numbers, or dates.

Destroy after all records listed thereon have been destroyed, except those inventories reflecting permanent files may be destroyed when no longer needed for reference.

SYSTEMS AND EQUIPMENT STANDARDIZATION

78-305

12. Systems and Equipment Standardization and Control Files

Documents relating to the standardization and control of copying equipment; filing equipment, supplies and space; and files systems and procedures.

Included are requests, studies, approvals, disapprovals, and related papers pertinent to obtaining and using copying equipment; non-standard filing equipment and supplies, files space; and files systems and procedures.

Files are arranged by date..

Cut off file each calendar year; then hold in current files area for 3 years; then destroy.

Earlier destruction is authorized for documents that are superceded or no longer needed for reference.

78-306

15. Copyright Authorization Files

Documents authorizing the use of copyright material, such as letters and agreements from publishers, authors, or copyright owners.

Files are arranged alphabetically, thereunder by date.

Cut off file on expiration of authorization; then hold in current files area for 10 years; then destroy.

78-307

16. Publications Control and Processing Files

Documents relating to control of publications work in progress.

Included may be stenographic assignments, records, stencil control cards, information and instruction sheets, layouts, daily production records, progress reports, job tickets on labor and materials and similar and related papers.

Files are arranged by subject, thereunder by date.

Cut off file at the end of each calendar year; then hold in the current files area for 1 year; then destroy.

78-308

17. Printing Unit Job Jacket Files

Documents relating to processing data and sample of each printing job.

Included are work orders, production and cost records and similar or related processing data.

Files may be arranged chronologically by date or numerically by job number.

Cut off file each calendar year; hold current files area for 2 years; then destroy.

78-309

18. Duplicating and Photo-Reproduction Job Control Files

Documents relating to control of jobs performed by commercial state contractors, commercial printing plants or photo shops.

Included are requisitions and delivery receipts and similar and related documents.

Files are usually arranged by date.

Cut off file each calendar year; hold in current files area for 2 years; then destroy.

PERSONNEL RELATED FILES

78-310

19. Job Standard Files

Documents related to providing guidance in evaluation of jobs.

Included are Merit System specifications; Minutes of State Personnel Board; and similar and related documents.

Files are arranged chronologically by date.

Destroy upon supersession.

78-311

20. Applicant Roster Files

Documents relating to providing an index to application of qualified eligibles for employment.

Included are listings identifying applicant, class title and similar and related information.

Files are arranged by class titles, thereunder alphabetically by eligible applicants.

Review annually and destroy material pertaining to individuals no longer eligible for employment and similar information that is no longer applicable.

78-312

23. Equal Employment Opportunity Reporting Files

Documents related to reporting on activities and conditions related to equal employment opportunity.

Included are statistical and narrative reports, summaries, consolidations and similar or related documents.

Files are arranged by date or subject. Files are usually arranged alphabetically by employee name.

Cut off file at end of each calendar year; then hold in current files area for 3 years; then destroy.

78-313

24. Equal Employment Opportunity Survey Files
Documents related to conducting surveys of the effectiveness of the equal employment opportunity program.

Included are reviews, appraisals, recommendations, survey reports and similar or related documents.

Files are arranged by date or subject.

78-314

25. Employee Locator Files
Documents relating to locating employees.

Included are flexoline strips, plain cards, punched cards, data processing listings and similar or related documents showing name, position, grade, etc., and organizational segment to which the employee is assigned.

Files may be arranged alphabetically or by organization and then by position class and or alphabetically by name.

78-315

26. Personnel Chronological Journal Files
Documents used for preparing reports, review of position or personnel actions processed and similar or related documents. Included are numerous forms relating to personnel actions.

Files are arranged by date.

78-316

27. Employee Interview Files
Documents used to records counseling interviews and termination interviews.

Included are forms identifying employee and information relating to employment, and similar and related information.

Files are arranged alphabetically by employee's name, thereunder by year.

Cut off file at end of calendar year; then hold in current files area for 3 years; then destroy.

Cut off on termination of employee; hold in current files area for 5 years; then destroy. Earlier destruction is authorized.

Cut off file at the end of each quarter; hold in current files area for 1 year; then destroy.

Cut off file on termination of employee; hold in inactive file for 6 months; then destroy.

78-317

28. Appeal and Grievance Case Files

Documents reflecting actions taken on grievance and appeals submitted by employees.

Included in each case are employee grievance record; decisions delivered, including records of grievance committee; review decisions; and similar or related documents.

Files are arranged alphabetically by employee.

Cut off when case is finalized and no appeal is pending. Hold in current files area 1 year; then transfer to State Records Center; hold 35 years; then destroy. (Case to be sealed in envelope and marked confidential.)

78-318

29. General Personnel Files

Documents relating to personnel strength, classification and reclassification, assignment, transfer, promotion, retirement and termination; and similar activities in general.

Included are routine or general requests for information and replies thereto; routine or informal reports with related papers; general recommendations and suggestions with all type of transmittals and other documents of a general, routing and administrative nature.

Files are arranged by date or may be files by subject and then by date.

Cut off at end of each calendar year; hold in current files area for 2 years; then destroy.

Earlier destruction is authorized.